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Substitute for form 1449B/PTC

Date Submitted: December 19, 2001

(use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Applicati n Number	Applicant Name	Applicant Address	Applicant City	Applicant State	Applicant Zip	Applicant Phone	Applicant Email	Applicant Fax	Applicant Website	Applicant Notes
1	John Doe	123 Main St	Anytown	CA	90210	(555) 123-4567	john.doe@example.com	(555) 123-4567	http://www.johndoe.com	John Doe is a member of the board of directors.
2	Jane Smith	456 Elm St	Anytown	CA	90210	(555) 234-5678	jane.smith@example.com	(555) 234-5678	http://www.janesmith.com	Jane Smith is a member of the board of directors.
3	Bob Johnson	789 Oak St	Anytown	CA	90210	(555) 345-6789	bob.johnson@example.com	(555) 345-6789	http://www.bobjohnson.com	Bob Johnson is a member of the board of directors.
4	Alice Brown	101 Pine St	Anytown	CA	90210	(555) 456-7890	alice.brown@example.com	(555) 456-7890	http://www.alicebrown.com	Alice Brown is a member of the board of directors.
5	Charlie White	202 Pine St	Anytown	CA	90210	(555) 567-8901	charlie.white@example.com	(555) 567-8901	http://www.charliewhite.com	Charlie White is a member of the board of directors.
6	Diana Green	303 Pine St	Anytown	CA	90210	(555) 678-9012	diana.green@example.com	(555) 678-9012	http://www.dianagreen.com	Diana Green is a member of the board of directors.
7	Frank Black	404 Pine St	Anytown	CA	90210	(555) 789-0123	frank.black@example.com	(555) 789-0123	http://www.frankblack.com	Frank Black is a member of the board of directors.
8	Grace Hall	505 Pine St	Anytown	CA	90210	(555) 890-1234	grace.hall@example.com	(555) 890-1234	http://www.gracehall.com	Grace Hall is a member of the board of directors.
9	Henry King	606 Pine St	Anytown	CA	90210	(555) 901-2345	henry.king@example.com	(555) 901-2345	http://www.henryking.com	Henry King is a member of the board of directors.
10	Ivy Lee	707 Pine St	Anytown	CA	90210	(555) 012-3456	ivy.lee@example.com	(555) 012-3456	http://www.ivylee.com	Ivy Lee is a member of the board of directors.
11	Jack Miller	808 Pine St	Anytown	CA	90210	(555) 123-4567	jack.miller@example.com	(555) 123-4567	http://www.jackmiller.com	Jack Miller is a member of the board of directors.
12	Karen Wilson	909 Pine St	Anytown	CA	90210	(555) 234-5678	karen.wilson@example.com	(555) 234-5678	http://www.karenwilson.com	Karen Wilson is a member of the board of directors.
13	Leo Taylor	1010 Pine St	Anytown	CA	90210	(555) 345-6789	leo.taylor@example.com	(555) 345-6789	http://www.leotaylor.com	Leo Taylor is a member of the board of directors.
14	Mia Adams	1111 Pine St	Anytown	CA	90210	(555) 456-7890	mia.adams@example.com	(555) 456-7890	http://www.miadams.com	Mia Adams is a member of the board of directors.
15	Noah Baker	1212 Pine St	Anytown	CA	90210	(555) 567-8901	noah.baker@example.com	(555) 567-8901	http://www.noahbaker.com	Noah Baker is a member of the board of directors.
16	Olivia Carter	1313 Pine St	Anytown	CA	90210	(555) 678-9012	olivia.carter@example.com	(555) 678-9012	http://www.oliviacarter.com	Olivia Carter is a member of the board of directors.
17	Peter Evans	1414 Pine St	Anytown	CA	90210	(555) 789-0123	peter.evans@example.com	(555) 789-0123	http://www.peterevans.com	Peter Evans is a member of the board of directors.
18	Quinn Foster	1515 Pine St	Anytown	CA	90210	(555) 890-1234	quinn.foster@example.com	(555) 890-1234	http://www.quinnfoster.com	Quinn Foster is a member of the board of directors.
19	Rachel Gibson	1616 Pine St	Anytown	CA	90210	(555) 901-2345	rachel.gibson@example.com	(555) 901-2345	http://www.rachelgibson.com	Rachel Gibson is a member of the board of directors.
20	Samuel Hill	1717 Pine St	Anytown	CA	90210	(555) 012-3456	samuel.hill@example.com	(555) 012-3456	http://www.samuelhill.com	Samuel Hill is a member of the board of directors.
21	Tina King	1818 Pine St	Anytown	CA	90210	(555) 123-4567	tina.king@example.com	(555) 123-4567	http://www.tinaking.com	Tina King is a member of the board of directors.
22	Uma Lee	1919 Pine St	Anytown	CA	90210	(555) 234-5678	uma.lee@example.com	(555) 234-5678	http://www.umalee.com	Uma Lee is a member of the board of directors.
23	Victor Miller	2020 Pine St	Anytown	CA	90210	(555) 345-6789	victor.miller@example.com	(555) 345-6789	http://www.victormiller.com	Victor Miller is a member of the board of directors.
24	Wendy Wilson	2121 Pine St	Anytown	CA	90210	(555) 456-7890	wendy.wilson@example.com	(555) 456-7890	http://www.wendywilson.com	Wendy Wilson is a member of the board of directors.
25	Xavier Taylor	2222 Pine St	Anytown	CA	90210	(555) 567-8901	xavier.taylor@example.com	(555) 567-8901	http://www.xaviertaylor.com	Xavier Taylor is a member of the board of directors.
26	Yara Adams	2323 Pine St	Anytown	CA	90210	(555) 678-9012	yara.adams@example.com	(555) 678-9012	http://www.yaraadams.com	Yara Adams is a member of the board of directors.
27	Zoe Baker	2424 Pine St	Anytown	CA	90210	(555) 789-0123	zoe.baker@example.com	(555) 789-0123	http://www.zoebaker.com	Zoe Baker is a member of the board of directors.
28	Adam Carter	2525 Pine St	Anytown	CA	90210	(555) 890-1234	adam.carter@example.com	(555) 890-1234	http://www.adamcarter.com	Adam Carter is a member of the board of directors.
29	Bella Evans	2626 Pine St	Anytown	CA	90210					

09/929.456

Filing Date	01/11/2024
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August 13, 2001

First Named Inventor

Alain BEGUIN et al.

Group Art Unit

1765

Examiner Name

Unassigned

Attorney Docket Number

064951/0148

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Binh Tran

Date
Considered

10/14/03

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

DEC 19 2001

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: December 19, 2001 <i>(use as many sheets as necessary)</i>				Complete if Known	
				Applicati n Number	09/929,456
				Filing Dat	August 13, 2001
				First Nam d Inv ntor	Alain BEGUIN et al.
				Group Art Unit	1765
				Examiner Name	Unassigned
				Attorney Docket Number	064951/0148
Sheet	2	of	2		

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Examiner Signature	Binh Tran	Date Considered	10/14/03
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¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

Standard ST.3).⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.
 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

FORM PTO-1449 (MODIFIED)	ATTORNEY DOCKET NO. SP01-112	SERIAL NO. 09/929,156
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	APPLICANT Beguin et al.	
	FILING DATE 8/13/01	GROUP: 1765

Handwritten: #5

Stamp: RECEIVED JUN 18 2002 TC 1700

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REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date If Approp.
	AA						
	AB						

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation Yes No
	AC						
	AD						

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)		
BT	AE	"Fabrication and characteristics of tapered waveguide semiconductor Raman lasers" Suto et al., IEE Proceedings Optoelectronics, Vol 143, No. 2, April 1996, pg. 113-118
BT	AF	"Electrooptic Polymer Modulator Operating in Both TE and TM Modes Incorporating a Vertically Tapered Cladding" Min-Cheol Oh et al., IEEE Photonics Technology Letters, Vol. 9, No. 9, September 1997, pg. 1232-1234
BT	AG	"Integrated Optical Modeshape Adapters in InGaAsP/InP for Efficient Fiber-to-Waveguide Coupling" Brenner et al., IEEE Photonics Technology Letters, Vol. 5, No. 9, September 1993, pg. 1053-1056
BT	AH	"Vertically tapered polymer waveguide mode size transformer for improved fiber coupling" Chen et al., SPIE Optical Engineering, 39(6) 1507-1516, June 2000
BT	AI	InGaAs/InGaAsP Multiple Quantum Well Laser with An Integrated Tapered Beam Expander Waveguide" R. Ben-Michael et al., 14 th IEEE International Semiconductor Laser Conference, 1994
BT	AJ	"Sputtered -Magnet Mach-Zehnder Waveguide Isolator" M. Vevy et al., LEOS 1996 9 th Annual Meeting IEEE Lasers and Elector-Optics Society
BT	AK	"Efficient coupling into tapered proton-exchanged LiNbO ₃ waveguides fabricated by vertically controlled immersion" G. Wang, Optics Letters, Vol 21, No. 1, January 1, 1996, pg. 42-44
BT	AL	"Vertically tapered InGaAsP/InP waveguides for highly efficient coupling to flat-end single-mode fibers", T. Brenner et al., Applied Physics Letters 65(7), 15 August 1994, pg. 798-800
BT	AM	"Vertical InP/InGaAsP Tapers For Low-Loss Optical Fibre-Waveguide Coupling" T. Brenner, Electronics Letters, Vol. 28, No. 22, 22 nd October 1992, pg. 2040-2041
BT	AN	"Estimation of waveguide loss of 1.3μm integrated tapered MQW fabricated by selective area MOCVD" A. Kasukawa et al., Electronics Letters, Vol. 32, No. 14 July 4 1996, pg. 1294-1296
BT	AO	"Mode Expanded Optical Switch in Resonant Vertically Coupled Waveguides" S.S. Saini et al., IEEE Photonics Technology Letters, Vol. 11, No. 10, October 1999, pg. 1259-1261
BT	AP	"Rib Waveguide Spot-Size Transformers: Modal Properties" P. Sewell, Journal of Lightwave Technology, Vol. 17, No. 5, May 1999, pg. 848-856
BT	AQ	"Variable Optical Attenuator Based on a Cutoff Modulator with Tapered Waveguides in Polymers" S.S. Lee et al., Journal of Lightwave Technology, Vol. 17, No. 12, December 1999, pg. 2556-2561

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DATE CONSIDERED: 10/14/03

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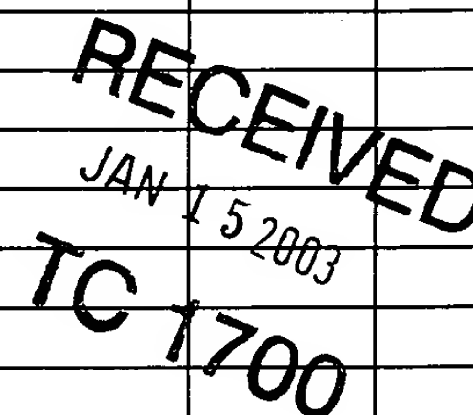
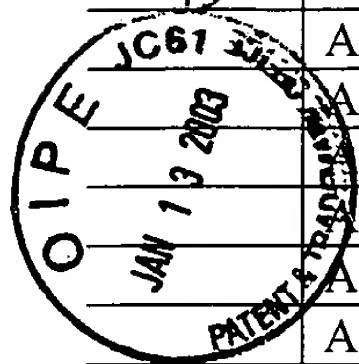
SP01-112

FORM PTO-1449 (MODIFIED) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	ATTORNEY DOCKET NO.	SERIAL NO.
	SP01-112	09/929456
	APPLICANT LEHUEDE PHILIPPE, et al.	
	FILING DATE 8/13/01	GROUP: 1765

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
BT	AA	4,869,780	9/26/89	Yang et al.	156	643	
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						



FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub-Class	Translation Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							
	AQ							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

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DATE CONSIDERED: 10/16/03

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